

**CRITERIA HAVING NONCOMPLIANCES  
SUPPLEMENT TO THE FY 2005 ACSEP REPORT**

**Prepared by  
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## **INTRODUCTION**

The following tables provide the specific criteria data collected during FY 2005 ACSEP evaluations conducted at production approval holders. Tables 1 through 3 present data from all approval types combined. The remainder of the tables present data for the particular approval type specified.

*Table 1. – Systemic Noncompliances*

<b>Criteria</b>	<b>Description</b>	<b>Number of Systemic Noncompliances</b>	<b>Percent of Total Systemic Noncompliances</b>	<b>Percent with Procedures in Place</b>
602	Initial and periodic evaluation of suppliers	6	7%	50%
402	Special processes identified and defined	4	5%	33%
405	Manufacturing records	4	5%	31%
508	Tool and gauge calibration	4	5%	31%
202	Technical data file	4	5%	29%
507	Tool and gauge accuracy	3	4%	23%
401	Work instructions control manufacturing process	3	4%	23%
116	Internal audit	3	4%	23%
117	Internal audit results reported to management	2	2%	15%
201	Drawing control system	2	2%	15%
614	Quality review of purchase documents	2	2%	15%
529	MRB	2	2%	15%
103	Policy document describes organization	2	2%	15%
416	Control of shelf-life materials	2	2%	14%
414	Receiving inspection records	2	2%	14%
102	Operating within production limitations	2	2%	14%
415	Verification of shelf-life materials	2	2%	14%
107	Tags, forms, etc. described	2	2%	14%
601	Use of approved suppliers	2	2%	14%
307	Software identification	1	1%	33%
605	Use of other party registered suppliers	1	1%	20%
310	Software Configuration Management Plan	1	1%	17%
313	Software security	1	1%	17%
618	Control of parts from associate facilities	1	1%	17%

<b>Criteria</b>	<b>Description</b>	<b>Number of Systemic Noncompliances</b>	<b>Percent of Total Systemic Noncompliances</b>	<b>Percent with Procedures in Place</b>
521	NDI operators qualified	1	1%	13%
520	NDI processes controlled	1	1%	13%
420	Traceability to split lots	1	1%	11%
531	MRB major changes FAA approved	1	1%	10%
501	Statistical sampling plans	1	1%	10%
404	Special process operator qualifications	1	1%	9%
430	Documents to importing country	1	1%	9%
513	Test procedures controlled	1	1%	8%
104	Policy document reviewed	1	1%	8%
611	Flow down of data to suppliers	1	1%	8%
425	Incorporation of design changes	1	1%	8%
409	Inspection methods	1	1%	8%
423	Control of cleaners	1	1%	8%
413	Receiving inspection	1	1%	8%
411	Issuance of stamps	1	1%	8%
203	Management review of design changes	1	1%	8%
105	Quality manual in use	1	1%	7%
530	Nonconforming products controlled	1	1%	7%
424	Segregation of parts in storage	1	1%	7%
428	Shipping of conforming products	1	1%	7%
417	Incoming material segregated	1	1%	7%
534	Corrective action based on MRB	1	1%	7%
204	Design change approval	1	1%	7%
207	Major design changes	1	1%	7%

*Table 2. – Isolated Noncompliances*

<b>Criteria</b>	<b>Description</b>	<b>Number of Isolated Noncompliances</b>	<b>Percent of Total Isolated Noncompliances</b>	<b>Percent with Procedures in Place</b>
508	Tool and gauge calibration	8	9%	5%
202	Technical data file	6	6%	4%
405	Manufacturing records	5	5%	3%
401	Work instructions control manufacturing process	5	5%	3%
530	Nonconforming products controlled	5	5%	3%
602	Initial and periodic evaluation of suppliers	4	4%	3%
206	Minor design changes	4	4%	3%
413	Receiving inspection	4	4%	2%
411	Issuance of stamps	3	3%	2%
601	Use of approved suppliers	3	3%	2%
501	Statistical sampling plans	2	2%	2%
406	Special process equipment calibrated	2	2%	1%
416	Control of shelf life materail	2	2%	1%
510	Protection of tools and gauges	2	2%	1%
201	Drawing control system	2	2%	1%
428	Shipping of conforming products	2	2%	1%
426	Storage of conforming parts	2	2%	1%
409	Inspection methods	2	2%	1%
306	Software development environment	1	1%	5%
609	Control of direct ship suppliers	1	1%	3%
314	Verification prior to use	1	1%	2%

<b>Criteria</b>	<b>Description</b>	<b>Number of Isolated Noncompliances</b>	<b>Percent of Total Isolated Noncompliances</b>	<b>Percent with Procedures in Place</b>
504	SPC control limits	1	1%	2%
527	NDI tanks and solutions	1	1%	2%
526	NDI test samples	1	1%	2%
520	NDI processes controlled	1	1%	2%
522	NDI procedures available	1	1%	1%
512	Tool control of NDI equipment	1	1%	1%
607	Delegation of inspection to supplier	1	1%	1%
420	Traceability to split lots	1	1%	1%
412	Environmental controls	1	1%	1%
404	Special process operator qualifications	1	1%	1%
514	Organizational review of test procedures	1	1%	1%
112	Feedback from users	1	1%	1%
533	MRB major or minor determinations	1	1%	1%
423	Control of cleaners	1	1%	1%
402	Special processes identified and defined	1	1%	1%
207	Major design changes	1	1%	1%
611	Flow down of data to suppliers	1	1%	1%
403	New or changed processes approved	1	1%	1%
534	Corrective action based on MRB	1	1%	1%
205	Design changes appropriately documented	1	1%	1%
106	Quality system data and changes submitted to FAA	1	1%	1%

<b>Criteria</b>	<b>Description</b>	<b>Number of Isolated Noncompliances</b>	<b>Percent of Total Isolated Noncompliances</b>	<b>Percent with Procedures in Place</b>
204	Design change approval	1	1%	1%
417	Incoming material segregated	1	1%	1%
102	Operating within production limitations	1	1%	1%
103	Policy document describes organization	1	1%	1%
107	Tags, forms, etc. described	1	1%	1%
427	Part marking	1	1%	1%
414	Receiving Inspection records	1	1%	1%



*Table 3. – CFR-Based Noncompliances*

<b>Criteria</b>	<b>Description</b>	<b>Number of CFR-Based Noncompliances</b>	<b>Percent of Total CFR-Based Noncompliances</b>	<b>Percent with Procedures in Place</b>
402	Special processes identified and defined	3	13%	2%
427	Part marking	3	13%	2%
408	Identification of inspection stations	2	8%	2%
110	Failures, malfunctions, defects reported	2	8%	1%
207	Major design changes	2	8%	1%
520	NDI processes controlled	1	4%	2%
524	NDI acceptance criteria	1	4%	2%
501	Statistical sampling plans	1	4%	1%
513	Test procedures controlled	1	4%	1%
208	Incorporation of design changes	1	4%	1%
109	Facility relocations reported	1	4%	1%
206	Minor design changes	1	4%	1%
204	Design change approval	1	4%	1%
205	Design changes appropriately documented	1	4%	1%
102	Operating within production limitations	1	4%	1%
409	Inspection methods	1	4%	1%
105	Quality manual in use	1	4%	1%

Table 4. – Systemic Noncompliances at TSO Facilities

Criteria	Description	Number of Systemic Noncompliances	Percent of TSO Systemic Noncompliances	Percent with Procedures in Place
530	Nonconforming products controlled	6	7%	17%
116	Internal audit	5	6%	17%
409	Inspection methods	5	6%	14%
508	Tool and gauge calibration	5	6%	14%
206	Minor design changes	4	5%	11%
405	Manufacturing records	4	5%	11%
413	Receiving inspection	4	5%	11%
532	Management review of nonconforming data	3	3%	10%
602	Initial and periodic evaluation of suppliers	3	3%	10%
601	Use of approved suppliers	3	3%	8%
401	Work instructions control manufacturing process	3	3%	8%
117	Internal audit results reported to management	2	2%	7%
611	Flow down of data to suppliers	2	2%	6%
513	Test procedures controlled	2	2%	6%
105	Quality manual in use	2	2%	6%
201	Drawing control system	2	2%	6%
529	MRB	2	2%	6%
427	Part marking	2	2%	6%
202	Technical data file	2	2%	5%
207	Major design changes	2	2%	5%
310	Software Configuration Management Plan	1	1%	13%
308	Programmed media handling/storage	1	1%	7%
506	Use of qualified personnel for SQC	1	1%	5%
501	Statistical sampling plans	1	1%	4%

<b>Criteria</b>	<b>Description</b>	<b>Number of Systemic Noncompliances</b>	<b>Percent of TSO Systemic Noncompliances</b>	<b>Percent with Procedures in Place</b>
612	Control of supplier design	1	1%	4%
430	Documents to importing country	1	1%	4%
104	Policy document reviewed	1	1%	3%
406	Special process equipment calibrated	1	1%	3%
402	Special processes identified and defined	1	1%	3%
425	Incorporation of design changes	1	1%	3%
534	Corrective action based on MRB	1	1%	3%
106	Quality system data and changes submitted to FAA	1	1%	3%
426	Storage of conforming parts	1	1%	3%
107	Tags, forms, etc. described	1	1%	3%
415	Verification of shelf-life materials	1	1%	3%
422	Prevention of part damage/contamination	1	1%	3%
416	Control of shelf-life materials	1	1%	3%
428	Shipping of conforming products	1	1%	3%
417	Incoming material segregated	1	1%	3%
509	Calibration standards	1	1%	3%

*Table 5. – Isolated Noncompliances at TSO Facilities*

<b>Criteria</b>	<b>Description</b>	<b>Number of Isolated Noncompliances</b>	<b>Percent of TSO Isolated Noncompliances</b>	<b>Percent with Procedures in Place</b>
513	Test procedures controlled	3	8%	9%
203	Management review of design changes	2	5%	6%
508	Tool and gauge calibration	2	5%	6%
409	Inspection methods	2	5%	6%
530	Nonconforming products controlled	2	5%	6%
427	Part marking	2	5%	6%
202	Technical data file	2	5%	5%
413	Receiving inspection	2	5%	5%
312	Software problem reporting	1	3%	13%
307	Software identification	1	3%	7%
109	Facility relocations reported	1	3%	4%
614	Quality review of purchase documents	1	3%	3%
117	Internal audit results reported to management	1	3%	3%
402	Special processes identified and defined	1	3%	3%
602	Initial and periodic evaluation of suppliers	1	3%	3%
403	New or changed processes approved	1	3%	3%
418	Traceability of components	1	3%	3%
426	Storage of conforming parts	1	3%	3%
415	Verification of shelf-life materials	1	3%	3%
103	Policy document describes organization	1	3%	3%
416	Control of shelf-life materials	1	3%	3%
428	Shipping of conforming products	1	3%	3%
201	Drawing control system	1	3%	3%

<b>Criteria</b>	<b>Description</b>	<b>Number of Isolated Noncompliances</b>	<b>Percent of TSO Isolated Noncompliances</b>	<b>Percent with Procedures in Place</b>
424	Segregation of parts in storage	1	3%	3%
206	Minor design changes	1	3%	3%
401	Work instructions control manufacturing process	1	3%	3%
507	Tool and gauge accuracy	1	3%	3%
411	Issuance of stamps	1	3%	3%

*Table 6. – CFR-Based Noncompliances at TSO Facilities*

<b>Criteria</b>	<b>Description</b>	<b>Number of CFR-Based Noncompliances</b>	<b>Percent of TSO CFR-Based Noncompliances</b>	<b>Percent with Procedures in Place</b>
427	Part marking	3	27%	8%
408	Identification of inspection stations	2	18%	6%
109	Facility relocations reported	1	9%	4%
208	Incorporation of design changes	1	9%	4%
402	Special processes identified and defined	1	9%	3%
110	Failures, malfunctions, defects reported	1	9%	3%
206	Minor design changes	1	9%	3%
204	Design change approval	1	9%	3%

Table 7. – Systemic Noncompliances at PC Facilities

Criteria	Description	Number of Systemic Noncompliances	Percent of PC Systemic Noncompliances	Percent with Procedures in Place
116	Internal audit	4	6%	15%
402	Special processes identified and defined	4	6%	15%
409	Inspection methods	4	6%	14%
413	Receiving inspection	3	4%	11%
403	New or changed processes approved	3	4%	11%
412	Environmental controls	2	3%	9%
534	Corrective action based on MRB	2	3%	8%
416	Control of shelf-life materials	2	3%	8%
602	Initial and periodic evaluation of suppliers	2	3%	8%
516	Test records	2	3%	8%
406	Special process equipment calibrated	2	3%	8%
601	Use of approved suppliers	2	3%	8%
206	Minor design changes	2	3%	7%
204	Design change approval	2	3%	7%
410	Inspection marking	2	3%	7%
422	Prevention of part damage/contamination	2	3%	7%
202	Technical data file	2	3%	7%
508	Tool and gauge calibration	2	3%	7%
529	MRB	2	3%	7%
427	Part marking	2	3%	7%
505	PRE-control method	1	1%	17%
503	SPC methods	1	1%	9%
311	Change documentation and approval	1	1%	7%
423	Control of cleaners	1	1%	4%
510	Protection of tools and gauges	1	1%	4%
511	SOT gauges	1	1%	4%

<b>Criteria</b>	<b>Description</b>	<b>Number of Systemic Noncompliances</b>	<b>Percent of PC Systemic Noncompliances</b>	<b>Percent with Procedures in Place</b>
513	Test procedures controlled	1	1%	4%
404	Special process operator qualifications	1	1%	4%
418	Traceability of components	1	1%	4%
401	Work instructions control manufacturing process	1	1%	4%
424	Segregation of parts in storage	1	1%	4%
428	Shipping of conforming products	1	1%	4%
102	Operating within production limitations	1	1%	4%
203	Management review of design changes	1	1%	4%
405	Manufacturing records	1	1%	4%
426	Storage of conforming parts	1	1%	3%
105	Quality manual in use	1	1%	3%
425	Incorporation of design changes	1	1%	3%
530	Nonconforming products controlled	1	1%	3%



*Table 8. – Isolated Noncompliances at PC Facilities*

<b>Criteria</b>	<b>Description</b>	<b>Number of Isolated Noncompliances</b>	<b>Percent of PC Isolated Noncompliances</b>	<b>Percent with Procedures in Place</b>
116	Internal audit	4	6%	13%
402	Special processes identified and defined	4	6%	13%
403	New or changed processes approved	3	4%	10%
413	Receiving inspection	3	4%	10%
206	Minor design changes	2	3%	7%
409	Inspection methods	2	3%	7%
412	Environmental controls	2	3%	7%
416	Control of shelf-life materials	2	3%	7%
427	Part marking	2	3%	7%
516	Test records	2	3%	7%
529	MRB	2	3%	7%
601	Use of approved suppliers	2	3%	7%
602	Initial and periodic evaluation of suppliers	2	3%	7%
102	Operating within production limitations	1	1%	3%
105	Quality manual in use	1	1%	3%
202	Technical data file	1	1%	3%
203	Management review of design changes	1	1%	3%
204	Design change approval	1	1%	3%
311	Change documentation and approval	1	1%	3%
401	Work instructions control manufacturing process	1	1%	3%
404	Special process operator qualifications	1	1%	3%
406	Special process equipment calibrated	1	1%	3%
410	Inspection marking	1	1%	3%
418	Traceability of components	1	1%	3%

<b>Criteria</b>	<b>Description</b>	<b>Number of Isolated Noncompliances</b>	<b>Percent of PC Isolated Noncompliances</b>	<b>Percent with Procedures in Place</b>
422	Prevention of part damage/contamination	1	1%	3%
423	Control of cleaners	1	1%	3%
424	Segregation of parts in storage	1	1%	3%
425	Incorporation of design changes	1	1%	3%
426	Storage of conforming parts	1	1%	3%
428	Shipping of conforming products	1	1%	3%
505	PRE-control method	1	1%	3%
508	Tool and gauge calibration	1	1%	3%
510	Protection of tools and gauges	1	1%	3%
511	SOT gauges	1	1%	3%
530	Nonconforming products controlled	1	1%	3%
534	Corrective action based on MRB	1	1%	3%

*Table 9. – CFR-Based Noncompliances at PC Facilities*

<b>Criteria</b>	<b>Description</b>	<b>Number of CFR-Based Noncompliances</b>	<b>Percent of PC CFR-Based Noncompliances</b>	<b>Percent with Procedures in Place</b>
513	Test procedures controlled	1	33%	4%
110	Failures, malfunctions, defects reported	1	33%	4%
105	Quality manual in use	1	33%	3%

*Table 10. – Systemic Noncompliances at PMA Facilities*

<b>Criteria</b>	<b>Description</b>	<b>Number of Systemic Noncompliances</b>	<b>Percent of PMA Systemic Noncompliances</b>	<b>Percent with Procedures in Place</b>
602	Initial and periodic evaluation of suppliers	9	7%	9%
202	Technical data file	9	7%	8%
413	Receiving inspection	9	7%	8%
530	Nonconforming products controlled	7	6%	6%
409	Inspection methods	7	6%	6%
427	Part marking	7	6%	6%
402	Special processes identified and defined	6	5%	6%
116	Internal audit	5	4%	7%
405	Manufacturing records	5	4%	5%
207	Major design changes	5	4%	5%
508	Tool and gauge calibration	5	4%	5%
601	Use of approved suppliers	4	3%	4%
426	Storage of conforming parts	4	3%	4%
416	Control of shelf-life materials	3	2%	4%
428	Shipping of conforming products	3	2%	3%
406	Special process equipment calibrated	2	2%	3%
415	Verification of shelf-life materials	2	2%	2%
611	Flow down of data to suppliers	2	2%	2%
401	Work instructions control manufacturing process	2	2%	2%
206	Minor design changes	2	2%	2%
205	Design changes appropriately documented	2	2%	2%
507	Tool and gauge accuracy	2	2%	2%
105	Quality manual in use	2	2%	2%
414	Receiving inspection records	2	2%	2%

<b>Criteria</b>	<b>Description</b>	<b>Number of Systemic Noncompliances</b>	<b>Percent of PMA Systemic Noncompliances</b>	<b>Percent with Procedures in Place</b>
311	Change documentation and approval	1	1%	6%
617	FAA notification of new foreign suppliers	1	1%	3%
521	NDI operators qualified	1	1%	3%
528	NDI records	1	1%	3%
430	Documents to importing country	1	1%	2%
612	Control of supplier design	1	1%	2%
404	Special process operator qualifications	1	1%	2%
423	Control of cleaners	1	1%	1%
113	Problems reported by FAA or users investigated	1	1%	1%
109	Facility relocations reported	1	1%	1%
529	MRB	1	1%	1%
411	Issuance of stamps	1	1%	1%
510	Protection of tools and gauges	1	1%	1%
410	Inspection marking	1	1%	1%
424	Segregation of parts in storage	1	1%	1%
102	Operating within production limitations	1	1%	1%
107	Tags, forms, etc. described	1	1%	1%

Table 11. – Isolated Noncompliances at PMA Facilities

Criteria	Description	Number of Isolated Noncompliances	Percent of PMA Isolated Noncompliances	Percent with Procedures in Place
116	Internal audit	4	6%	15%
402	Special processes identified and defined	4	6%	15%
409	Inspection methods	4	6%	14%
403	New or changed processes approved	3	4%	11%
413	Receiving inspection	3	4%	11%
412	Environmental controls	2	3%	9%
534	Corrective action based on MRB	2	3%	8%
416	Control of shelf-life materials	2	3%	8%
516	Test records	2	3%	8%
602	Initial and periodic evaluation of suppliers	2	3%	8%
406	Special process equipment calibrated	2	3%	8%
601	Use of approved suppliers	2	3%	8%
206	Minor design changes	2	3%	7%
202	Technical data file	2	3%	7%
204	Design change approval	2	3%	7%
410	Inspection marking	2	3%	7%
422	Prevention of part damage/contamination	2	3%	7%
508	Tool and gauge calibration	2	3%	7%
427	Part marking	2	3%	7%
529	MRB	2	3%	7%
505	PRE-control method	1	1%	17%
503	SPC methods	1	1%	9%
311	Change documentation and approval	1	1%	7%
423	Control of cleaners	1	1%	4%
510	Protection of tools and gauges	1	1%	4%
511	SOT gauges	1	1%	4%
404	Special process operator qualifications	1	1%	4%
513	Test procedures	1	1%	4%

<b>Criteria</b>	<b>Description</b>	<b>Number of Isolated Noncompliances</b>	<b>Percent of PMA Isolated Noncompliances</b>	<b>Percent with Procedures in Place</b>
	controlled			
418	Traceability of components	1	1%	4%
102	Operating within production limitations	1	1%	4%
203	Management review of design changes	1	1%	4%
401	Work instructions control manufacturing process	1	1%	4%
405	Manufacturing records	1	1%	4%
424	Segregation of parts in storage	1	1%	4%
428	Shipping of conforming products	1	1%	4%
105	Quality manual in use	1	1%	3%
425	Incorporation of design changes	1	1%	3%
426	Storage of conforming parts	1	1%	3%
530	Nonconforming products controlled	1	1%	3%

*Table 12. – CFR-Based Noncompliances at PMA Facilities*

<b>Criteria</b>	<b>Description</b>	<b>Number of CFR-Based Noncompliances</b>	<b>Percent of PMA CFR-Based Noncompliances</b>	<b>Percent with Procedures in Place</b>
402	Special processes identified and defined	2	20%	2%
207	Major design changes	2	20%	2%
524	NDI acceptance criteria	1	10%	3%
520	NDI processes controlled	1	10%	3%
501	Statistical sampling plans	1	10%	2%
205	Design changes appropriately documented	1	10%	1%
102	Operating within production limitations	1	10%	1%
409	Inspection methods	1	10%	1%